Portsmouth/Paducah Project Office

U.S. Department of Energy

QUALITY ASSURANCE SURVEILLANCE PLAN

Paducah Infrastructure Support Services

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ACRONYMS

ACOR	Alternate Contracting Officer's Representative
ANSI	American National Standards Institute
AQL	Acceptable Quality Level
CER	Contractor Evaluation Report
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CFR	*Code of Federal Regulations*
CLIN	Contract Line Item Number
CMMS	Computerized Maintenance Management System
CNSS	Committee on National Security Systems
CO	Contracting Officer
COR	Contracting Officer's Representative
CP	Contingency Plan
DoD	U.S. Department of Defense
DOE	U.S. Department of Energy
DOELAP	Department of Energy Laboratory Accreditation Program
EIC	Environmental Information Center
EIS	Electronic Information System
ERMS	Electronic Records Management System
FAR	Federal Acquisition Regulation
FCC	Federal Communications Committee
FOIA	Freedom of Information Act
FRA	Federal Railroad Administration
GSA	General Services Administration
IR	Incident Response
ISS	Infrastructure Support Services
IT	Information Technology
NARA	National Archives and Records Administration
NFPA	National Fire Prevention Association
NTP	Notice to Proceed
PA	Privacy Act
PEIP	Performance Evaluation Implementation Plan
PGDP	Paducah Gaseous Diffusion Plant
PRS	Performance Required Summary
PWS	Performance Work Standard
O	Order
QA	Quality Assurance
QASP	Quality Assurance Surveillance Plan
RMAIP	Risk Management Approach Implementation Plan
RMFO	Records Management Field Officer
PPPO	Portsmouth/Paducah Project Office
TE	Technical Exhibits
TYSP	Ten Year Site Plan
WSHP	Worker Safety and Health Program

SECTION 1: INTRODUCTION

1.1 Background

Section C of the *Paducah Infrastructure Support Services*, is the Performance Work Statement (PWS) which specifies what work is to be performed by the Infrastructure Contractor. Appendix A, Performance Requirements Summary (PRS), specifies work performance standards for the identified contract line item numbers (CLIN), and functional areas of the PWS. Other work required under this contract may be monitored and other contractual remedies taken by the U.S. Department of Energy (DOE) as needed.

1.2 Purpose

This Quality Assurance Surveillance Plan (QASP) describes the methods that DOE will use to monitor and evaluate the Contractor's performance. As the contract is considered a performance-based approach to the required tasks in the PRS found in Appendix A, it is important to note the primary concern of the DOE is with the product and service results provided by the Contractor and not with the procedures used to produce them. Therefore, the QASP focuses on examining the Contractor's product and service results and not the processes used to produce them. The QASP sets the standards for the Evaluators in assessing Contractor performance. In some cases specific metrics are used to measure Contractor performance; in other cases subjective judgment and evaluation by DOE personnel will be the determining criteria. This plan describes the framework for quantitative and qualitative evaluation of Contractor performance.

1.3 QASP Relation to the Contract

DOE will retain the right to change the surveillance methods and procedures, or to increase or decrease the degree of surveillance efforts at any time necessary to assure contract compliance. A copy of the QASP may be provided to the Contractor to enable the Contractor to enhance its Quality Program and ensure it is performed in accordance with its internal assurance programs. The Contractor will self-govern and apply assurances to provide quality and timeliness of deliverables and services, as defined in the PWS. The QASP represents the metrics that DOE will evaluate to determine if the Contractor's performance is acceptable.

1.4 Revisions to the QASP

The QASP is a tool for use in Government administration of the contract and remains subject to revision at any time by the Government throughout the contract performance period. Revisions to this surveillance plan are the responsibility of the Contracting Officer (CO) or designee. Changes may be made unilaterally at the discretion of the Government.

As the performance period progresses, the levels of surveillance may be altered for service areas in cases where performance is either consistently excellent or consistently unsatisfactory. If observations reveal consistently satisfactory performance, then the amount of surveillance may be reduced. If observations reveal consistent deficiencies, increased surveillance may be implemented. The Paducah Site Office will utilize a Performance Evaluation Implementation Plan (PEIP) designed to help the Evaluators:

- establish review and surveillance frequencies,
- in determining acceptable services and products,
- in making sample size selections,
- documenting performance deviations, and
- providing measures for customer feedback and survey instruments.

SECTION 2: PERFORMANCE DESCRIPTION

Performance of the Contractor will be monitored through various surveillance methods described in Section 4: *Performing Quality Assurance* and the PEIP. Performance data gathered will be evaluated to assess Contractor performance against contract requirements.

2.1 Performance Standards and Acceptable Quality Levels

For selected activities in the PWS, the PRS provides a performance standard and an acceptable quality level (AQL). A performance standard is the required level of Contractor performance. The performance standard listed is for information only. The standard in Section C and in Section J, Attachment J-4 provides the version and details of the deliverable requirement. may not indicated the version An AQL defines the level of performance that is satisfactory. Depending on the service evaluated and the evaluation method selected, performance standards and AQLs may be stated as a number of occurrences or as a percentage. Performance standards and AQLs for random sampling and 100 percent inspection are generally stated as percentages. For periodic inspections, performance standards may be stated as either percentages, or as absolute numbers.

The contract requires the Contractor to perform all work as specified. Any inaccuracies or omissions in services or products are referred to as "defects" on the part of the Contractor. The Contractor shall be held responsible for all identified defects, and DOE may require a contractor to re-perform the work at no cost to the Government. The AQLs take into account that in some instances an allowable level of deficiency (deviation) is possible while overall performance continues to meet DOE's desired level of service.

2.1.1 Allowable Deviation

The AQLs define the level or number of performance deficiencies the Contractor is permitted to reach under this contract. AQLs take into account the difference between an occasional defect and a gross number of defects. AQLs can be expressed as a percentage of or as an absolute number (e.g., three per month). There may be instances where 100 percent compliance is required, and no deviation is acceptable (e.g., where safety is involved).

2.1.2 Substantially Complete

In some cases, service outputs are evaluated using subjective values (e.g., satisfactory, marginal, indeterminate, unsatisfactory). The criteria for acceptable performance and for defects must be defined for these service outputs. The concept of "substantially complete" should be the basis for inspections based on subjective scales.

Work is considered "substantially complete" when there has been no significant departure from the terms of the contract and no omission of essential work. In addition, the Contractor has performed the work required to the best of its ability and the only variance consists of minor omissions or deficiencies.

2.2 Non-performance

Non-performance occurs when the Contractor's performance does not meet the AQL for a given requirement. Requirements may contain multiple performance elements; therefore, deficiencies may occur in one or more aspects of performance (e.g., timeliness, accuracy, completeness, etc.) or subject areas of effort.

When surveillance indicates that the Contractor's service output is not in compliance with the contract requirements, the Evaluators must determine whether the Contractor or the Government caused the deficiency. If the cause of the defect rests with the Government, corrective action must be taken through Government channels. If the cause of the defect is due to action or inaction by the Contractor, the Contractor is responsible for correction of the problem at no additional expense to the Government.

2.2.1 Documentation

Observed work activities shall be documented, both acceptable performance and non-performance. Thorough documentation of unperformed or poorly performed work is essential for tracking Contractor performance throughout the period of performance. The Evaluators, as trained evaluators, will document deficient work by compiling facts describing the inspection methods and results. A sample documentation reporting form is provided in Appendix B: *Contract Evaluation Report*. The Contracting Officer's Representative (COR), or alternate COR and Evaluators will develop documentation to substantiate nonconformance with the contract. The documentation, together with any recommendations, will be forwarded to the COR or alternate COR. The COR or alternate COR will decide whether to elevate the problem to the CO for corrective action. The PEIP provides a standard format for documenting performance. Conforming work observations will be documented to file, used for reference when paying invoices, and retained for the life and closeout of the contract.

Observations of nonconforming work, and recommendations will be elevated to the attention of the COR and CO for further action. The COR and CO will make determinations on deductions for each billing period, and also decide when a deficiency needs to be elevated for remedial or corrective action. If determined that an unsatisfactory area warrants a deduction, the COR/ACOR will complete a Contractor Evaluation Report [(CER), as found in Appendix B] and submit the information to the contractor with a copy to the CO. The CO will consider the contractors response and make a final determination on the applied deduction, if any.

2.2.2 Remedial Actions

The Federal Acquisition Regulation (FAR) allows for remedies in the event that the Contractor fails to perform the required services.

For a Contractor, the Government may require the Contractor to correct services that failed to meet contract requirements. If the Contractor fails to proceed with reasonable promptness to perform the required corrective action, the Government may (i) by contract or otherwise, perform the correction, charge to the Contractor any increased cost, or deduct such increased cost from any amounts paid or due under the contract; or (ii) terminate the contract for default. The deductions included in Appendix A are considered to be commensurate with the value of the associated services.

SECTION 3: ROLES AND RESPONSIBILITIES

The roles and responsibilities of the stakeholders involved in executing the QASP are described below.

3.1 Contractor Responsibility

The Contractor is responsible for delivering products or services in accordance with the contract. The Contractor is responsible for implementing assurance plans as part of the contract requirements. The plans allow the contractor to determine and apply methods for ensuring all products and services meet established performance standards and AQLs. The Contractor is responsible for producing, maintaining, and providing for audit, quality assurance/control records and reports and all records associated with the investigation and resolution of customer complaints. The Contractor should appoint a single quality assurance point-of-contact to act as a central recipient of communication with the Government.

3.2 Government Responsibility

The key personnel who will be responsible for QASP input are the CO, the COR or alternate COR, the Evaluators, and the Contractor's customers. The subsections provide the role of each DOE, or DOE support contractor position.

3.2.1 Contracting Officer

The CO is a federal position, and has the authority to administer the contract. The CO may delegate many of the day-to-day contract administration duties to the COR and Evaluators. However, the following contractual actions are solely the responsibility of the CO, and will not be delegated: issuance of contract modifications, resolution of Contractor claims and disputes, acceptance of non-conforming work or non-conforming products, issuance of cure notices (notification that unless unacceptable performance is corrected, the Government may terminate the contract for default in accordance with FAR 49.607), issuance of show-cause letters (following a cure notice, requesting facts bearing on the case), termination of the contract, and contract close-out. Administrative actions such as invoice approval and issuance of the CER may be delegated by the CO to the COR or alternate COR. Communication regarding questions or issues related to the QASP will be directed to the CO or the COR or alternate COR. The CO shall approve revisions to the QASP and related performance standards (Appendix A).

3.2.2 Contracting Officer's Representative

The COR or alternate COR, is a federal employee and is designated by name and/or position to act as a liaison between the Government and the Contractor on issues pertinent to the daily operation of the Contract. The COR represents the CO in the COR functions and therefore is the Contractor's initial point-of-contact with the Government. In turn, the COR may delegate some of his/her responsibilities, such as supervision of the Evaluators, to another individual in the organization in order to ensure that the performance evaluation function is properly executed. If modifications to the contract are necessary, the COR will assist the CO in preparing and negotiating the modifications. If there are problems with Contractor performance, the COR will inform the Contractor of the problems and provide recommendations to the CO that adverse contractual actions are appropriate (e.g., cure notice) if the Contractor fails to correct the problem. Also, the COR must refer differences of contract interpretation to the CO. An Alternate COR, or ACOR, can also serve in the same capacity as the COR, as delegated and assigned to the contract.

3.2.3 Evaluators

The Evaluators play a key role in contract administration. They serve as the on-site DOE representative of the COR, and report to the COR or designee. The Evaluators perform contract surveillance and

performance evaluation. Contract oversight duties of Evaluators include, but are not limited to, the following:

- Performing surveillance activities as defined by this QASP and the PEIP,
- Making recommendations to the COR for issuance of Contract Discrepancy Reports or letters of commendation;
- Making recommendations to the COR for the acceptance or rejection of completed work and for administrative actions based on unsatisfactory work or non-performed work;
- Assisting the COR in identifying potential contract modifications;
- Making recommendations to the COR for changes to the QASP; and
- Assisting the COR in preparing reports of Contractor performance and cost.

The Evaluators are limited to the authority delegated to them by the COR and/or CO. They have no authority to direct or to allow the Contractor to deviate from contract requirements. The Evaluators also have no authority to direct or interfere with the methods of performance by the Contractor or to issue directions to any Contractor personnel. These actions are reserved for the CO or the COR.

The Evaluators will use the form provided in Appendix D: *Sampling Guide/Inspection Checklist* for each PEIP to capture observations when evaluating a service requirement. Documented observations from the Evaluator activities will capture the inspection results with a recommended Contractor rating of satisfactory marginal, indeterminate, or unsatisfactory performance.

3.2.4 Customers

For the Paducah Infrastructure Support Services (ISS) Contract, the primary ISS contractor Customers are defined as the following organizations:

- U.S. DOE / Portsmouth/Paducah Project Office (PPPO),
- PPPO technical support contractors,
- Contractor for the Paducah Deactivation and Remediation services,
- Contractor for the Depleted Uranium Hexafluoride Conversion Project,
- Public utilizing the Environmental Information Center.

Customers may assist the COR by providing information on Contractor performance through customer feedback. The validated information gained from customer feedback will be used in conjunction with other methods of observation to rate the performance of the Contractor.

SECTION 4: PERFORMING EVALUATIONS

4.1 Surveillance Methods

The surveillance methods are the tools the Government uses to monitor the Contractor's products and services. The best means of determining whether the Contractor has met all contract requirements is to inspect the Contractor's service products and analyze the results. Further, documented inspection results are an effective tool in contract administration. Inspections either confirm the Contractor's successful achievement of all performance requirements or highlight areas where defects exist and improvements are necessary.

The surveillance methods described below include: 100 percent inspection, periodic inspection, random sampling, and customer feedback. The number of inspections conducted may be reduced in those instances where the Contractor has established a good performance record. In cases of poor performance, DOE may increase the level of surveillance and focus on known problem areas. In either case, the reasons for the change in surveillance will be documented.

The AQL when expressed as a percentage represents the percentage of inspected items that must be acceptable to meet the AQL. It does not represent the percentage of items inspected. The surveillance method describes how the AQL will be evaluated (i.e., 100%, periodic, random, etc.). The deduction represents the monetary deduction for not meeting the AQL, either in a percentage of the line item cost or a flat deduction. The surveillance frequency represents how often the deduction can be applied based on contractor performance.

4.1.1 100 Percent Inspection

The 100 percent inspection method provides for a complete inspection of the Contract requirement, and may be used for requirements that are especially critical. Evaluation schedules for 100 percent inspections will be prepared on a time determined basis, and may be adjusted by the Government depending on the Contractor activity, contractor performance trending, and other scheduling factors.

4.1.1.1 Performance Standards and AQLs

The performance standards and AQLs are stated as either percentages or absolute numbers.

4.1.1.2 Evaluation Procedures

Observed defects for a service monitored by 100% inspection are compared over the performance period of the contract, the performance standards and AQLs may be adjusted to meet the contract needs, or when changes are made to the PWS.

4.1.2 Periodic Inspection

Periodic inspection provides a systematic way of looking at service outputs and forming conclusions about the Contractor's level of performance in accordance with a planned schedule of surveillance. Evaluation by periodic inspection is designed to inspect some, but not all of the products and services being monitored.

4.1.2.1 Application

Specific contract requirements that are to be monitored are selected for evaluation prior to their scheduled accomplishment. Periodic inspection differs from random sampling in the way in which samples are selected – periodic inspection sample selection is based on some subjective rationale and sample sizes will vary. With this type of evaluation, the Evaluators are able to direct efforts to those areas where inspections

are most needed, and the Contractor knows that those areas are more likely to be monitored than others. Periodic inspection, as compared with random sampling, provides a less sound statistical means of making comparisons between observed and overall performance, and the Contractor's overall level of performance. Periodic inspection is generally used in two ways. First, it can provide a one-time subjective evaluation of Contractor performance. Second, it can be used to detect a change in the Contractor's level of performance (i.e., trend analysis). This method requires that the sample selection criteria be well documented and consistently applied from period to period, and that there are no other intervening factors. The cost of periodic inspections varies with the level of inspections. Such latitude is important to manage limited resources and focus inspections on known or suspected problems areas.

4.1.2.2 Performance Standards and AQLs

Performance standards and AQLs are usually stated in terms of the number of defects detected per time period (e.g., three times per month). There is no specific relationship between sample size and performance standard/AQL. However, when the AQL is expressed as a percentage, it is recommended that the maximum sample size be chosen such that one defect does not exceed the AQL. This requirement does not apply to AQLs that require 100% compliance.

4.1.2.3 Evaluation Procedures

The levels of evaluation appropriate for periodic inspection are judgmental. In order to perform trend analysis from periodic inspection, criteria for sample selection should be applied consistently from period to period. To ensure valid results, the Evaluators will use periodic inspection evaluation sheets and follow a detailed inspection schedule. Schedules may be developed monthly to coincide with the Contractor's monthly schedule of work, and regularly updated after receiving the Contractor's definitive weekly schedule. Observed defects for services monitored by periodic inspection will be totaled at the end of each month. For each service, the total number of defects will be compared to the performance standard and AQL.

4.1.3 Random Sampling

Random sampling evaluation is a quality assurance method designed to evaluate some, but not all, of a specific contract requirement. This method, based on statistical principles, estimates the Contractor's overall level of performance for a given contract requirement based on a representative sample drawn from a population. Random Sampling is most often used when the number of occurrences of a service is very high.

4.1.3.1 Application

The random sampling procedures may be based on those set by the American National Standards Institute (ANSI). The random sampling procedures should consider the AQL (maximum allowable deviation from the performance standard), the level (intensity) of the evaluation effort, and the population size. There are two ways of applying random sampling for Quality Assurance (QA) surveillance. The first is used only for performance evaluation and allows deductions to be taken only for observed defects; the second is random sampling for performance evaluation and deduction projection (also called extrapolated deductions), which allows deductions against the whole population based on the inspection of the sample. To obtain valid results, random sampling procedures must be followed precisely.

4.1.3.2 Evaluation Procedures

Random Sampling is based solely on a statistical analysis whereby a conclusion is drawn about a population based on a randomly selected sample of that population. For the conclusion to be valid, the sample selected must be representative of the population. A truly representative sample can be achieved by ensuring that the sample is selected randomly and the size of the sample is sufficient. A conclusion about Contractor performance can then be made based on the representative sample drawn.

4.1.4 Customer Feedback

Verified and validated customer feedback is a quality assurance method based on customer and Contractor interaction. Customers continually receive the outputs of Contractor performance and are in a position to evaluate the Contractor on a recurring basis. Because customers have a clear stake in the quality of Contractor services they are a valuable resource for the Evaluators and COR.

4.1.4.1 Application

Customers are made aware of contract requirements and monitor the services provided by the Contractor, both positive and negative. Where there is a case of poor performance or non-performance, customers notify the QA Lead or Evaluators. The Evaluators then investigate the report and, if found to be valid, document their findings. The numbers of complaints and resulting inspections depend upon customer awareness and response. If the complaint is valid and caused by poor performance or non-performance by the Contractor, the Contractor must take appropriate corrective action. A valid complaint is one in which the Evaluator confirms that poor performance or non-performance violates contract requirements.

4.1.4.2 Evaluation Procedure

The Contractor shall report verified and validated complaints each month, so the Evaluators may review the submitted complaints and formulate action items if necessary. Trend analysis may be used to test for variations in the number of complaints received each month and identify changes in Contractor performance.

4.2 Analysis and Results

Contract oversight and analysis will consider the sources of information from the Evaluators, formal surveillances and inspections, and validated customer feedback. Evaluators will provide recommendations to the COR. The COR will consider the Evaluator recommendations as well as the other sources of information to make a determination of performance. For the purpose of executing this plan, the results of the combined contract oversight activities will result in one of the following outcomes: satisfactory performance, or unsatisfactory performance.

The surveillance frequency listed in the PRS (see Appendix A) represents the frequency the surveillance may, be performed, and the frequency may be increased or decreased at the discretion of the Government with, or without, notice to the Contractor.

4.2.1 Satisfactory Performance

When the Contractors performance is satisfactory, the performance meets acceptable quality levels and deficiencies are correctable without adverse impact to mission accomplishment or customer activities. Strengths and weaknesses in performance are on balance where any deficiencies are identified and corrected immediately by the Contractor.

4.2.2 Marginal Performance

Performance meets some but does not meet all contractual requirements. The contractual performance of the task and sub-task being assessed reflect a potential serious problem for which the contractor has not yet identified corrective actions. The Contractor's proposed actions appear only marginally effective or were not fully implemented.

4.2.3 Unsatisfactory Performance

When DOE has determined that the contractor performance or products does not meet the AQL, the Contractor's performance is unsatisfactory, and is therefore unacceptable. The following responses are available to the COR regarding that task/subtask:

- The CO and/or COR meet with the Contractor to discuss discrepancies, trends, complaints, and intended corrective measures;
- Results of each set of monthly evaluations are documented based on the process identified in the PEIP.
- The level of surveillance is increased until the Contractor demonstrates acceptable performance over a period of time;
- The COR identifies each discrepancy with the CER for each service that does not meet its AQL, and provides the information to the CO as part of the invoice review process;
- If deficiencies are deemed significant and affect multiple requirements, the CO may escalate more severe actions to correct the situation or circumstances (e.g. a contractual 'Cure' notice may be appropriate).

4.2.4 Indeterminate

Performance determination for designated by the Government when the outcome cannot be finalized.

- The CO and/or COR will make this determination.
- It is anticipated the final outcome will be reached at a future date.

APPENDIX A:
PERFORMANCE REQUIREMENTS SUMMARY

The performance standards and AQLs listed within the Appendix A tables will be used to measure the performance of the Contractor. The tables are applicable to CLINs and the functional areas of the PWS:

1. CLIN 0001: C.3.1, Contract Transition
2. CLIN 0101; CLIN 0102; C.2.1, C.2.4, Recurring Reports
3. CLIN 002; C.3.12, Contract Closeout

Per the Fixed Price Inspection of Services clause (FAR 52.246-4), the Government may reduce the contract price to reflect the reduced value of the services performed. The specific deductions identified within Appendix A reflect the intended impact to Contractor payments, but additional deductions may be taken from Contractor payments if warranted by significant defects in services provided.

The tables in Appendix A cover firm-fixed-price work included under Section C.3.0 and Section C.2.0 of the PWS. In accordance with the Fixed Price Inspection of Services Clause, the Government may also reduce the contract price to reflect the reduced value of services performed for deliverables under Section C.2.0, and the contract price reduction will be commensurate with the reduced value of services.

In addition, the tables in Appendix A include a number of deliverables and official submittals, including Contractor programs, plans, policies and procedures. All required deliverables must be sufficiently complete, accurate, concise, and satisfactory. This specifically includes (but is not limited to) deliverables requiring approval by DOE.

1. Contract Transition (C.3.1)

Table 1: Contract Transition Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.2.1	For DOE approval, the Contractor shall submit a Deliverable Schedule as required by Attachment J-4, List of Deliverables.	For documents requiring DOE approval, the schedule shall allow for the submission of a draft document to DOE for review and comment, and a final document for DOE approval. For documents requiring approval from an outside (i.e., non-DOE) organization, the schedule shall allow for the submission of a draft document for DOE review and comment, the submission of a draft document addressing DOE comments to the outside organization for review and comment, and a final document for approval by the outside organization.	Deliverable provided per schedule and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.1	For DOE approval, the Contractor shall submit a Worker Safety and Health Program (WSHP) as required by Attachment J-4, List of Deliverables.	The WSHP is compliant with the requirements of 10 *Code of Federal Regulations* (*CFR*) § 851.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.3	For DOE approval, the Contractor shall submit a Radiation Protection Program as required by Attachment J-4, List of Deliverables.	The Radiation Protection Program is compliant with the requirements of 10 *CFR* § 835 and DOE Order (O) 458.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.3	For DOE approval, the Contractor shall submit an Environmental Radiological Protection Program as required by Attachment J-4, List of Deliverables.	The Environmental Radiological Protection Program is compliant with the requirements of DOE O 458.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.3	For DOE approval, the Contractor shall submit an Integrated Safety Management System Description as required by Attachment J-4, List of Deliverables.	The Integrated Safety Management System Description is compliant with the requirements of DEAR 970.5223-1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.2.2.5	For DOE approval, the Contractor shall submit a Quality Assurance Program as required by Attachment J-4, List of Deliverables.	The Quality Assurance Program is compliant with the requirements DOE O 414.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.6	For DOE approval, the Contractor shall submit a Contractor Assurance System as required by Attachment J-4, List of Deliverables.	The Contractor Assurance System is compliant with the requirements of DOE O 226.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.4	For DOE approval, the Contractor shall submit a Building/Project Emergency Contingency Plan (for the assigned facilities) as required by Attachment J-4, List of Deliverables.	The Building/Project Emergency Contingency Plan is compliant with the requirements of DOE O 151.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.6	For DOE information, the Contractor shall submit Emergency Management Readiness Assurance program (for the assigned facilities listed in Attachment J-8.C.3.0) as required by Attachment J-4, List of Deliverables.	The Emergency Management Readiness Assurance program for Infrastructure facilities/activities is/are compliant with the requirements of DOE O 151.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.10	For DOE approval, the Contractor shall submit a Waste Management Plan as required by Attachment J-4, List of Deliverables.	The Waste Management Plan is compliant with the requirements of DOE O 435.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.10	For DOE approval, the Contractor shall submit a Pollution Prevention Plan as required by Attachment J-4, List of Deliverables.	The Pollution Prevention Plan is compliant with the requirements of Executive Order 13834.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.1	Contract Key Personnel shall be onsite during the transition period.	Contract Key Personnel identified are onsite during transition period.	Key personnel onsite 90% of working business days.	100% Inspection	$500.00 for each absence above the AQL, each business day.	Monthly until end of Transition
C.3.1	For DOE approval, the Contractor shall submit a Transition Plan as required by Attachment J-4, List of Deliverables.	The Transition Plan includes a description of all activities necessary to execute all sections of the Contract, a listing of involved organizations, and a schedule.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date.	Single surveillance review of deliverable
C.3.1	Until the contract transition is complete, the Contractor shall provide weekly Transition Status Reports to DOE.	The weekly Transition Status Report includes all activities necessary to execute a successful transition.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date.	Monthly until end of Transition
C.3.1	The Contractor shall complete all transition activities resulting in a successful transition within contractual time frames.	All activities complete resulting in successful transition within 60 days following NTP.	100%; Successful completion of transition activities within 60 days following NTP.	100% Inspection	$1,000.00 for each calendar day that completion of transition is delayed.	Following successful transition
C.3.2.1.2	For DOE approval, the Contractor shall submit a Site Security Plan as required by Attachment J-4, List of Deliverables.	The Site Security Plan is compliant with the requirements of DOE O 470.4.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$1,000.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.1.3	For DOE approval, the Contractor must submit a Space Cleaning Plan as required by Attachment J-4, List of Deliverables.	The Space Cleaning Plan incorporates requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.2.3	For DOE approval, the Contractor shall submit a Mowing Plan as required by Attachment J-4, List of Deliverables.	The Mowing Plan includes a mowing map and annual schedule.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.3.3	For DOE approval, the Contractor shall submit a Snow and Ice Removal Plan as required by Attachment J-4, List of Deliverables.	The Snow and Ice Removal Plan incorporates requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.5.3.2	For DOE approval, the Contractor shall submit a Railroad Track Service Schedule as required by Attachment J-4, List of Deliverables.	The Railroad Track Service Schedule includes requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.6.3	For DOE approval, the Contractor shall submit a Records Management as required by Attachment J-4, List of Deliverables.	The Records Management Plan includes requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.9.2	For DOE approval, the Contractor shall submit Training Course Content and Training Schedule as required by Attachment J-4, List of Deliverables.	The deliverable includes all Training Course Content and Schedule.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.12	For DOE approval, the Contractor shall submit Cyber Security, Computing, and IT Staffing Plan as required by Attachment J-4, List of Deliverables.	The deliverable includes all labor hour positions to support all Section C requiremetns in C.3.12.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable

2. Recurring Contract Reports (C.2.0)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **contract reports**. Reviews to be conducted by the COR and/or Evaluators upon receipt of the deliverable.

Table 2: Recurring Contract Reports Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.2.1.1	The contractor shall provide an Invoice Performance Report with each invoice submittal in accordance with C.2.1.1	The Invoice Performance Report shall provide summary level descriptions of the progress, services rendered, and deliverables submitted during the invoice period and transmitted within 10 business days from the end of the prior month.	Report provides a summary for each active scope area and is available when invoice is submitted	Deliverable Review	$500 for each business day deliverable is past the due date or not technically accurate and complete.	Upon receipt of the information; once per month
C.2.1.2	The contractor shall provide an Annual Data Report in accordance with C.2.1.2	The Annual Data Report will provide the requested information (to be added by contract mod) in both report (static) format, as well as usable data files (.xls, or other format acceptable to DOE)	Deliverable is submitted on time, and is complete and accurate.	Deliverable Review	$1000 for each business day deliverable is past the due date or not technically accurate and complete, or does not provide usable data files.	Within 15 days of receipt of the information; once per year
C.2.4.1	The contractor shall provide a Monthly Progress Report in accordance with C.2.4.1	The Monthly Progress Report reports Cost Performance for each funding account, and transmitted within 10 business days from the end of the prior month.	Report submitted on time and contains data for cost account for active CLINS when applicable	Deliverable Review	$500 for each business day deliverable is past the due date or not technically accurate and complete.	Upon receipt of the information; once per month

3. Safeguards and Security (C.3.3)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Safeguards and Security**. Stated deductions will be applicable and will commence at the time the deficiencies are identified (e.g., the date of the finding) and will continue monthly until the corrective actions are satisfactorily implemented (i.e., demonstrated by closure of the finding and subsequent validation by DOE).

Table 3: Safeguards and Security Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.2.1	**Program Management Operations** in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/ surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.1	**Program Management Operations** in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.2.1 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	$500.00 for each business day deliverable is past the due date or not technically accurate and complete. If included in the annual Site Security Plan, the deduction is still applicable for items within related to these requirements, specifically.	Monthly
C.3.2.1	**Safeguards and Security Program** in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	1% of applicable CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.3	**Physical Protection** in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.3	**Physical Protection** in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.2.3 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	$500.00 for each business day deliverable is past the due date or not technically accurate and complete. If included in the annual Site Security Plan, the deduction is still applicable for items within related to these requirements, specifically.	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.2.4	**Information Security** in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.4	**Information Security** in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.2.4 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	$500.00 for each business day deliverable is past the due date or not technically accurate and complete. If included in the annual Site Security Plan, the deduction is still applicable for items within related to these requirements, specifically.	Monthly
C.3.2.5	**Personnel Security** in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.7	**Foreign Visits & Assignments** in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.7	**Foreign Visits & Assignments** in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.2.7 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
Other Factors:		**Deduction (Impact on Contractor Payments)**				
***Security Enforcement Action		100% of applicable CLIN 1 Month and 50% of applicable CLIN for each month thereafter until the Corrective Action Plan is complete and all actions closed.				
Other Security Items as Deemed by the Secretary of Energy or Assistant Secretary.		100% of applicable CLIN				

4. Telecommunications, Radio, and Printing (C.3.3)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Telecommunications, Radio, and Printing**

Table 4: Telecommunications, Radio, and Printing Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.3.1.5	The Contractor shall operate and maintain the Paducah site telephone switching system, transmission equipment, and ancillary equipment in a serviceable condition.	The Paducah site telecommunications system is available 24 hours per day, 7 days per week.	Two interruptions in service.	Observation	10% of applicable CLIN and $5,000.00 per day out of service above the AQL	Quarterly
C.3.3.2	The Contractor shall maintain the Federal Communications Committee radio frequency license, tower, transmission, and radio repair/replacement services. This includes managing radio services, including radio spectrum licensing and design.	The radio system is operational 24 hours per day, 7 days per week.	Two interruptions in radio service.	Observation	10% of applicable CLIN and $5,000.00 per day out of service above the AQL	Quarterly
C.3.3.1.4	The Contractor shall provide reliable electronic notification service to individual personnel associated with the Paducah Gaseous Diffusion Plant (PGDP) emergency response organizations.	The electronic notification system is operational 24 hours per day, 7 days per week.	100% operational with no interruptions.	Periodic and Random Inspection, Customer Feedback	15% of applicable CLIN	Quarterly

5. Property Management Services (C.3.4.1)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Property Management Services**.

Table 5: Property Management Services Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.1.1.2	The Contractor shall provide intra-site/inter-office relocation of Paducah site personnel.	The Contractor provides office relocation services in a timely manner.	No more than one valid customer complaint with relocation services.	Inspection, Observation, Customer Feedback	5% of applicable CLIN	Quarterly
C.3.4.1.1.3	The Contractor shall coordinate with other DOE contractors at the Paducah Site to maintain and input data to the FIMS database.	Site data is inputted to the FIMS database in accordance with DOE O 430.1.	95% of required data is input to FIMS.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.4.1.1.4	Annual Five or Ten Year Site Plan drafted in accordance with annual guidance, submitted to and approved by DOE as required.	The plan is drafted in accordance with DOE guidance.	Deliverable provided is technically accurate and complete.	Deliverables review	10% of applicable CLIN	Annual deliverable review
C.3.4.1.2	The Contractor shall coordinate and provide disposition support for Government owned personal property determined to be excess for all PGDP site contractors and DOE operations. The contractor will disposition excess property to PACRO, where appropriate.	Property is excessed or disposed in accordance with Section C requirements.	100% property excessed or disposed of in accordance with applicable orders.	Periodic and Random Inspection	5% of applicable CLIN	Monthly
C.3.4.1.3	Contractor shall coordinate site-wide statistical usage tracking and reporting on General Services Administration (GSA) leased and DOE-owned equipment; Pick-up, transportation and return of GSA vehicles to/from a GSA approved vendor for maintenance and repairs; Return/replacement of GSA vehicles as lease conditions require; Notification and coordination of required maintenance to GSA vehicle lessee (e.g., other site contractors and DOE); and access and use of a maintained and operable vehicle (i.e., Asset ID E112427 as shown in Section J, Attachment J-3, Paducah Infrastructure Accountable Property List).	The Contractor provides listed fleet management services for vehicles listed in the appropriate Section J, Attachment..	100% statistical usage reported and 95% of vehicles current on maintenance and repairs.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly

6. Maintenance of Buildings, Structures, Installed Equipment, and Furnishings (C.3.4.2 and C.3.4.3)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Maintenance of Buildings, Structures, Installed Equipment, and Furnishings**.

Table 6: Maintenance of Buildings, Structures, Installed Equipment, and Furnishings Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.3	Maintain the Public Address and Public Warning systems; schedule and perform repairs to ensure full functionality. Identified in J-8, item C.3.4.3.0.b	The electronic notification system is operational 24 hours per day, 7 days per week. Unplanned disruptions are resolved within 72-hours of notification.	100% operational; disruptions resolved within 72 hours	Periodic and Random Inspection, Customer Feedback	$500 for each day in which the system is not functioning, above the AQL	Monthly
C.3.4.3.1	The Contractor shall provide new or factory reconditioned parts and components when providing maintenance, repair, and minor improvements. If such parts and/or components are no longer produced or available, it is reasonable to presume that, with Government approval, other means or other sources could be utilized. Where practical, contractor shall use excess parts.	All maintenance activities use new or factory reconditioned parts and components.	100% of parts and components are new or factory refurbished.	Periodic and Random Inspection	$500.00 for each deficiency	Monthly
C.3.4.3.2.1	The Contractor shall develop a comprehensive PM program for assigned buildings, structures, and installed equipment.	The PM program is developed from applicable original equipment manufacturer manuals, inspection checklists, manufacturer's standards, industry standards, and commercial guides.	95% of PM activities are derived from identified sources.	Periodic and Random Inspection	$500.00 for each deficiency.	Quarterly
C.3.4.3.2.3	The Contractor shall operate and maintain all HVAC systems for assigned facilities.	HVAC systems listed in Attachment J-8 are repaired within a reasonable timeframe.	95% of HVAC Systems are operational.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.4.3.2.4	The Contractor shall operate and maintain active overhead and rolling door systems.	Overhead and rolling door systems listed in Attachment J-8 are repaired within a reasonable timeframe.	95% of overhead and rolling door systems are operational.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.4.3.2.5	The Contractor shall operate and maintain active elevator systems.	Elevator systems listed in Attachment J-8 are repaired within a reasonable timeframe. 95% of the time means no more than 36 hours of total down-time per month, regardless of normal or non-normal hours.	Elevator systems are operational 95% of the time.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.3.2.6	The Contractor shall operate and maintain active refrigeration systems.	Refrigeration systems are repaired within a reasonable timeframe.	95% of refrigeration systems are operational.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.4.3.2.7	The Contractor shall maintain lighting systems, and perform re-lamping in occupied designated facilities.	Lighting systems are repaired within a reasonable timeframe.	95% of lighting systems are operational.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.4.3.2.8	The Contractor shall perform architectural and traffic signage maintenance, repair, replacement, and alterations.	Architectural and traffic signage are maintained in accordance Section C requirements.	95% of signage is correctly posted and maintained.	Periodic and Random Inspection	5% of applicable CLIN	Monthly
C.3.4.3.2.9	The Contractor shall perform security fence and wire cage maintenance and repairs for locations described in Attachment J-8.	All gates/fences/cages are maintained secure, and all hinges and locking devices kept in good working order.	100% of security fence/gates properly maintained or adequately posted until repairs are made.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.4.3.2.11	The Contractor shall maintain, inspect, test, and repair/replace all portable fire extinguishers.	All inspections shall be performed in accordance with National Fire Prevention Association (NFPA) Code 10, "Standard for Portable Fire Extinguishers.	100% of fire extinguishers are maintained, inspected, tested and repaired/replaced.	Periodic and Random Inspection	$100.00 for each deficiency	Monthly
C.3.4.3.2.12	The Contractor shall maintain, inspect, test, and repair/replace limited area lighting, traffic control devices, and street lamping.	All limited area lighting, traffic control devices, and street lamping shall be kept in good working order.	100% of lighting devices are maintained, inspected, tested, and repaired/replaced within 24 hours of determined failure for bulbs. If equipment is determined to require replacement it should be replaced within 5 days.	Periodic and Random Inspection	$100.00 for each deficiency	Monthly
C.3.4.3.3	The Contractor shall perform LEVEL II Service Order work as defined in Section C.3.4.2.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	50% Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

7. Roads Maintenance and Erosion, and Storm Damage Repair (C.3.4.4, C.3.4.5)

The following table provides the performance standards, AQLs and surveillance methods pertaining **to Roads Maintenance and Erosion, and Storm Damage Repair**.

Table 7: Roads Maintenance and Erosion, and Storm Damage Repair Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.4.3.2	The Contractor shall utilize the CMMS to document deficiencies resulting from inspections.	All deficiencies are documented in CMMS.	100% of deficiencies documented in	Periodic and Random Inspection	$500.00 for each deficiency above the AQL.	Monthly
C.3.4.4.3.3	During the month of May, the Contractor shall inspect all paved surfaced areas and related structures and prepare an Inspection Report.	All areas inspected and Inspection Report documents any issues found.	90% of areas documented in the Inspection Report.	Deliverable Review	10% of applicable CLIN	Single surveillance review of the deliverable
C.3.4.4.3.4	The Contractor shall grade Unpaved Roads and Parking Areas to level ruts and washes, fill in low areas, and cut down high areas, to achieve the specified grade and slope.	Road maintenance is performed 2 times each year, once in the spring and once in the fall.	90% of unpaved roads properly maintained.	Periodic and Random Inspection	10% of applicable CLIN	Semi-Annual
C.3.4.4.3.4	During the month of May, the Contractor shall inspect all unpaved roads, parking areas and ancillary structures and prepare an Inspection Report.	All areas inspected and Inspection Report documents any issues found.	90% of areas documented in the Inspection Report.	Deliverable Review	10% of applicable CLIN	Annual
C.3.4.4.3.5	The Contractor shall inspect and repair damaged inlet gratings, clean catch basins, drop inlets, manholes, culverts, inlet headwalls, and exits and similar structures on a regular schedule.	The drainage system is maintained to ensure proper runoff.	90% of inspected locations meet requirements.	Random Inspection	5% of applicable CLIN	Monthly
C.3.4.4.3.6	The Contractor shall inspect vehicular bridges and provide results of the inspection. Frequency of inspection is not to exceed 24 months.	Inspection are performed in accordance with the requirements of 23 *CFR* § 650.301 bi-annually and documented with an Inspection Report.	90% of areas documented in the Inspection Report.	Deliverable Review	$500.00 for each business day deliverable is past due date or not technically accurate and	Every 24-months
C.3.4.4.3.7	The Contractor shall perform vegetation control on areas adjacent to paved, gravel and earth roads, and yards.	Vegetation Control is performed per the requirements of C.3.5.5, Grounds Maintenance.	90% of inspected locations meet requirements.	Random Inspection	5% of applicable CLIN	Monthly
C.3.4.4.4	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	50% Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

8. On-Site Fuel Station (C.3.4.6)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **On-Site Fuel Station**.

Table 8: On-Site Fuel Station Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.6	The Contractor shall operate and maintain the fueling facility on-site.	The refueling station is available 24 hours per day, 7 days per week. (at least one diesel and one gas operational). The fueling facilities listed in Attachment J-8 are repaired within a reasonable timeframe.	Fueling facilities operational 95% of the time.	Periodic and Random Inspection	5% of applicable CLIN	Quarterly

9. Custodial Services (C.3.5.1)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Custodial Services**.

Table 9: Custodial Services Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.1.2	The Contractor shall purchase and use cleaning products containing recovered materials that are EPA- designated items to the greatest extent	Cleaning products are EPA-designated as containing recovered materials.	90% of inspected products are properly designated.	Periodic and Random Inspection	$100.00 for each deficiency above the AQL.	Quarterly
C.3.5.1.2	The Contractor shall post warning signs and barricades in areas of floor care operations, as appropriate, to ensure personnel safety.	Warning signs are posted when hazards are introduced by floor care operations.	100% of inspected areas contain appropriate signs.	Periodic and Random Inspection	$200.00 for each deficiency above the AQL.	Quarterly
C.3.5.1.3	The Contractor shall report deviations from the space cleaning plan into the weekly maintenance report.	All deviations to the space cleaning plan are reported in the weekly report.	100% of deviations to the space cleaning plan are captured in the weekly report.	100% Inspection	$500.00 for each deficiency.	Quarterly
C.3.5.1.3.1	The Contractor shall perform space cleaning in accordance with C.3.5.4.3.1.	The Contractor ensures the spaces are clean, sanitary and sightly.	95% of inspected areas acceptable and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable CLIN	Quarterly
C.3.5.1.3.2	The Contractor shall perform floor care in accordance with C.3.5.1.3.2.	The Contractor ensures the floor care maintains the floors clean, sanitary and sightly.	95% of inspected areas acceptable and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable CLIN	Annual
C.3.5.1.4	The Contractor shall perform LEVEL II Service Order work as defined in Section C.3.4.2.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.
C.3.5.1.3.4	The Contractor shall perform restroom services in accordance with C.3.5.1.3.4.	The Contractor services all restrooms to ensure they are clean, sanitary, sightly and stocked with sufficient supplies.	95% of inspected areas and no more than two valid	Periodic and Random Inspection, Customer Feedback	5% of applicable CLIN	Quarterly
C.3.5.1.3.5	The Contractor shall be responsible for pickup and disposition of sanitary waste, including disposition of sanitary waste.	The Contractor disposes of up to ten (10) dumpsters at or around the PGDP.	95% of inspected areas and no more than two valid	Periodic and Random Inspection, Customer Feedback	5% of applicable CLIN	Monthly
C.3.5.1.3.5	The Contractor shall perform waste collection and disposal in accordance with Section C requirements.	The Contractor separately collects and manages recyclable and consumer hazardous waste generated by the Contractor from other waste streams in accordance with the waste minimization program.	95% of inspected areas and no more than two valid	Periodic and Random Inspection, Customer Feedback	5% of applicable CLIN	Monthly

10. Grounds Maintenance (C.3.5.2)

The following table provides the performance standards, AQLs and surveillance methods pertaining **to Grounds Maintenance**.

Table 10: Grounds Maintenance Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.2.1	The Contractor shall trim grass/vegetation around utilities, fences, utility poles, lightning protection poles, guy wires, sign posts, fire hydrants, buildings, electrical structures, plastic and concrete jersey barriers, and parking lot bumpers.	Objects within the mowing zone are trimmed around to a height no greater than 6 inches.	95% of inspected areas are properly trimmed.	Periodic and Random Inspection	2% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall remove or blow off grassclippings and leaves (not trash) deposited by the mowing operation from sidewalks, concrete porches, building aprons, streets, etc.	Clippings are properly removed following mowing activities.	95% of inspected areas have clippings properly removed.	Periodic and Random Inspection	2% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall prevent scalping, uneven mowing, or rutting by the equipment and shall take care not to damage trees and shrubs.	Scalping and damage to trees and shrubs is prevented.	No more than one observed defect or valid customer complaint.	Periodic and Random Inspection, Customer Feedback	2% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.5.5.2.1) ZONE I.	Vegetation is maintained to a height of 6 inches or less.	95% of inspected locations meet requirements.	Periodic and Random Inspection	0.5% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.5.5.2.2) ZONE II.	Vegetation is maintained to a height of 12 inches or less for non-radiological areas and 36 inches or less for radiological areas.	95% of inspected locations meet requirements.	Periodic and Random Inspection	1% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.5.5.2.3) ZONE III.	Vegetation is maintained no less than every 30 calendar days to maintain vegetation/grass at a height of 18 inches or less for non- radiological areas and 36 inches or less for radiological areas.	95% of inspected locations meet requirements.	Periodic and Random Inspection	1% of applicable CLIN	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.2.4.2.2 ZONE IV.	Vegetation is maintained at a height of 12 inches or less.	95% of inspected locations meet requirements.	Periodic and Random Inspection	0.5% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.2.4.2.2 ZONE V.	Vegetation is maintained on a biannual basis to prevent woody growth.	95% of inspected locations meet requirements.	Periodic and Random Inspection	0.5% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.2.4.2.2 ZONE VI.	Vegetation is maintained on a biannual basis to prevent woody growth.	95% of inspected locations meet requirements.	Periodic and Random Inspection	0.5% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.2.4.2.2 ZONE VII.a.	Vegetation is maintained on the outside of the fence to a height of twelve (12”) inches or less to create a clearance of approximately fifty (50’) feet from the exterior of the fence to the surrounding tree line, subject to the limitations of the terrain.	95% of inspected locations meet requirements.	Periodic and Random Inspection	0.25% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform mowing/vegetation control in accordance with C.3.5.2.4.2.2 ZONE VII.b.	Vegetation is controlled to a distance of twenty (20’) feet either side of the fence to a height of twelve (12”) inches or less.	95% of inspected locations meet requirements.	Periodic and Random Inspection	0.25% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall maintain a mowed, debris free, and pest controlled (e.g. chiggers) pathway that lead to National Emission Standards for Hazardous Air Pollutants air monitors.	Maintained path is no less than 3 feet wide and with a vegetation height not to exceed 4 inches.	85% of inspected locations meet requirements.	Periodic and Random Inspection	0.25% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall provide an access route and mow around the groundwater wells based on the Remediation contractor’s sampling schedules.	Maintained area is at least 10 foot radius circle with a vegetation height not to exceed 4 inches.	90% of inspected locations meet requirements.	Periodic and Random Inspection	0.25% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall control the height of vegetation in and along outfall ditches on a biannual basis to prevent woody growth.	Maintain a mowed and debris free pathway to outfall access points, including steps and platforms leading to sampling weirs, that is no less than three (3’) feet wide and with a vegetation height not to exceed twelve (12”) inches. The use of herbicide is prohibited for this activity. Trim the vegetation/grass along outfall viewing points, to a height of six (6”) or less, such as pipe dams, to provide ample viewing of pipe inflow and outflow.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable CLIN	Monthly
C.3.5.2.4.2	Shrubs and hedges in the Zone I Area(s) shall be pruned annually.	Shrubs and hedges are pruned between May 15 and October 15.	90% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable CLIN	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.2.4.2	The Contractor shall utilize herbicide, or other means, as approved by DOE, to control weed growth and other vegetation in areas not addressed by other zones, such as switchyards, cylinder yards, dust palliative areas, gravel lots, staging areas, and other similar areas.	Vegetation is controlled in these areas at a height of eighteen (18") inches or less.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable CLIN	Monthly
C.3.5.2.4.2	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

11. Snow and Ice Prevention/Removal (C.3.5.3)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Snow and Ice Prevention/Removal**.

Table 11: Snow and Ice Prevention/Removal Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.3.3	The Contractor shall submit an updated Snow and Ice Removal Plan annually for review and approval to the Government by September 30th.	The Snow and Ice Removal Plan includes all required information in C.3.5.3.3.	Deliverable provided per schedule and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.3.4	The Contractor shall plow in a manner that does not create a safety hazard and does not obstruct sidewalks, streets, parked vehicles, fire hydrants, refuse dumpsters, obstacles (i.e., water valves, radiological areas, etc.), parking lot entrances, exits, or roadway intersections.	Plowing operations do not create safety hazards or obstruct identified items.	No more than one observed defect and no more than two valid customer complaints.	Inspection, Observation, Customer Feedback	$500.00 for each deficiency above the AQL.	Monthly
C.3.5.3.5.1	Non-Significant Weather Events: The Contractor shall treat and clear priority areas to maintain safe passage conditions for vehicle and pedestrian traffic.	Priority 1, 2, and 3 areas are free and clear within 4 hours of the completion of the weather event. Remaining areas shall be cleared within 12 hours.	No more than one observed defect and no more than two valid customer complaints.	Inspection, Observation, Customer Feedback	$1,000.00 for each deficiency per event.	Monthly
C.3.5.3.5.2	Significant Weather Events: The Contractor shall treat and clear priority areas to maintain safe passage conditions for vehicle and pedestrian traffic.	Priority 1, 2, and 3 areas are free and clear within 8 hours of the completion of the weather event. Remaining areas are cleared within 16 hours.	No more than one observed defect and no more than two valid customer complaints.	Inspection, Observation, Customer Feedback	$1,000.00 for each deficiency per event.	Monthly
C.3.5.3.6	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

12. Pest Control Services (C.3.5.4)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Pest Control Services**.

Table 12: Pest Control Services Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.5.4.2	All work shall be performed by certified individuals.	Evidence of permits and licenses are provided to DOE.	100% of personnel are certified.	Periodic and Random Inspection	$1,000.00 for each deficiency.	Quarterly
C.3.5.4.3	The Contractor shall maintain records of all pest control operations, both chemical and nonchemical, including surveillance.	Records are made available upon request for inspection.	90% of pest control operations have appropriate records maintained.	Periodic and Random Inspection	$500.00 for each deficiency above the AQL.	Quarterly
C.3.5.4.4	Labels and safety data sheets for each pesticide proposed to be used shall be submitted to DOE for approval at least fourteen (14) calendar days prior to use.	DOE approves the use of the pesticide prior to use and the pesticides are registered with the State of Kentucky for the intended use.	100% of pesticides approved for use and registered by the State of KY.	Inspection, Observation,	$100.00 for each deficiency above the AQL.	Single surveillance review of documentation.
C.3.5.4.4	All pesticides usage shall be in strict conformance with label directions. The Contractor shall maintain a label book of pesticides used. All pesticides, rinse water, and containers shall be disposed of in accordance with label directions.	Label book of pesticides use is readily available for inspection by DOE.	100% of pesticides used are identified in the label book, and 100% items disposed of off-site.	Periodic and Random Inspection	$1,000.00 for each deficiency.	Monthly
C.3.5.4.4	Pesticide spills shall be cleaned, decontaminated, and reported to DOE, as required by the WSHP and applicable environmental standards.	Spills are cleaned, decontaminated, and reported in accordance with Contractor WSHP and applicable environmental standards.	100% spills handled in accordance with Contractor WSHP.	Periodic and Random Inspection	$1,000.00 for each deficiency.	Quarterly
C.3.5.4.5	The Contractor shall perform an initial inspection of all facilities as stated in Section C.3.5.6.2 Assets for structural and general signs of nuisance pests within 120 calendar days of NTP.	The findings of each inspection are reported to DOE within 30 calendar days following completion of the inspection.	100% of inspection reports provided to DOE.	Inspection, Observation	$500.00 for each deficiency per facility.	Single surveillance review of documentation.

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.4.5	Proposed annual service schedules shall be submitted to DOE for approval.	Schedules are submitted within 30 calendar days of initial inspection.	Deliverable provided per schedule.	Deliverable Review	$500.00 for each business day deliverable is past due date.	Single surveillance review of the deliverable
C.3.5.4.5	The Contractor shall provide pest control services on a scheduled basis for the control of cockroaches, ants, silverfish, spiders, mice, rats, and any other pest native to the Paducah, Kentucky area. The Contractor shall provide the removal of nuisance animals. The Contractor shall remove all dead or dying rodents or other animals, as needed.	Contractor maintains areas free of infestations. No more than 3 customer complaints.	No more than three observed infestations or valid customer complaints.	Inspection, Observation, Customer Feedback	5% of applicable CLIN	Quarterly
C.3.5.4.6	The Contractor shall perform LEVEL II Service Order work.	All work shall is in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability
C.3.5.4.7	The Contractor shall eliminate structural and nuisance pests within 30 calendar days of completion of the initial inspection. After which, facilities shall remain free of any infestation.	No more than 3 customer requests without Contractor action on requests that are actionable.	No more than one observed defect or valid customer complaint.	Inspection, Observation, Customer Feedback	$500.00 for each deficiency.	Quarterly

13. Railroad System Maintenance and Repair (C.3.5.5)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Railroad System Maintenance and Repair**.

Table 13: Railroad System Maintenance and Repair Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.5.1	The Contractor shall perform inspections on a monthly basis for active track and annually for inactive track. Active track inspections shall occur no more than thirty (30) calendar days and no less than twenty (20) calendar days from last inspection.	Inspections are performed in accordance with Federal Railroad Administration (FRA) Part 213, Class 1, *Track Safety Standards.*	90% of tracks inspected per schedule appropriate requirements.	Periodic and Random Inspection	5% of applicable CLIN	Monthly
C.3.5.5.1	The Contractor shall inspect rail trestles (bridges). The inspections shall be performed annually.	Inspections are performed in accordance with 49 *CFR* § 237, *Bridge Safety Standards* and *Manual for Railway Engineering,* American Railway Engineering and Maintenance-of-Way Association.	100% of active rail trestles inspected per annually	Deliverable Review	$500.00 for each business day deliverable is past due date or not technically accurate and complete	Annual
C.3.5.5.1	The Contractor shall advise the Government of all problems discovered with the rail system.	Critical (potentially serious) problems (found on rail systems) are to be reported to the Government on a daily basis.	100% of critical problems reported daily.	Periodic and Random Inspection	$5,000.00 for each failure	Monthly
C.3.5.5.1	The Contractor shall provide the Government a copy of the rail and trestle inspection reports.	Inspection reports are submitted within five (5) business days of completion of inspection.	100% of Inspection Reports submitted on schedule.	Deliverable Review	5% of applicable CLIN	Single surveillance review of the deliverable
C.3.5.5.2	For DOE approval, the Contractor shall submit a railroad service schedule in accordanc with Attachment J-5, List of Deliverables.	The railroad service schedule includes all required information in Section C.	Deliverable provided per schedule and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.5.2	The Contractor shall perform scheduled work on rail switches for active tracks.	Rail switches are maintained in accordance with Section C.	100% active rail switches properly maintained.	Periodic and Random Inspection	5% of applicable CLIN	Monthly
C.3.5.5.2	The Contractor shall perform scheduled work on railroad trackage.	Rail trackage is maintained in accordance with Section C.	100% active rail trackage properly maintained.	Periodic and Random Inspection	5% of applicable CLIN	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.5.3.3	The Contractor shall eliminate or control vegetation from areas within and adjacent to trackage where not required for erosion control.	The Contractor maintains ballast areas free of vegetation sixteen (16) feet wide [eight (8) feet each side of center line].	90% of trackage properly maintained.	Random Inspection	2% of applicable CLIN	Quarterly
C.3.5.5.4	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

14. Records Management and Document Control (C.3.6.)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Records Management and Document Control.**

Table 14: Records Management and Document Control Performance Standards, AQLs and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.3	The Contractor shall prepare, revise, submit for DOE approval and execute an approved Records Management Plan.	The Records Management Plan are developed in accordance with 44 U.S.C. 21; 44 U.S.C. 29; 44 U.S.C. 31; 44 U.S.C. 33; 44 U.S.C. 36; 36 *CFR* Chapter XII, Subchapter B, *Records Management*; DOE O 243.1, "*Records Management Program.*"	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of the initial deliverable, and annual updates
C.3.6.3.1	The contractor shall utilize an ERMS for the maintenance and disposition of all records (regardless of media) including electronic and email. The Contractor shall ensure all records are imported into the appropriate folder within the ERMS to ensure proper cutoff/disposition, while assigning the correct DOE Records Disposition Schedule. The Contractor shall provide a web search capability for the ERMS to allow record searches. This search capability shall be made available to DOE and other contractors as authorized DOE.	The contractor shall ensure quality control processes are in place for records acceptance prior to importing into the ERMS; including but not limited to assigning proper disposition schedule, records arrangement (folder structure) scanned image meets ppi/dpi requirements, pages are rotated properly, security markings are applied and images are clear and legible.	Less than 5% error rate, less than 5% backlog and no more than two valid customer complaints.	Periodic and Random Inspections, Customer Feedback	5% of applicable CLIN	Monthly
C.3.6.3.2	The Contractor shall develop and implement records management requirements for the creation, maintenance and storage of audiovisual records.	Audiovisual records are stored in accordance with 36 CFR § 1237 and 36 CFR § 1235.42 and any updated National Archives and Records Administration (NARA) requirements/guidance.	95% compliance.	Single review of procedures and periodic and Random Inspection	5% of applicable CLIN	Quarterly
C.3.6.3.3	The Contractor shall prepare, revise, submit for DOE approval, and execute an approved Vital Records Plan.	The Vital Records Plan is developed in accordance with 36 CFR § 1223, Managing Vital Records, and DOE Order 243.1, Records Management Program.	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of the deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.3.3	The Contractor shall prepare, revise, and submit to DOE the Vital Records Inventory.	The Records Inventory is developed and updated in accordance with 36 CFR § 1223, Managing Vital Records, and DOE O 243.1, *Records Management Program.*	Submittal contains 100% of requested information.	Inspection, Submittal Review	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Annual
C.3.6.4.1	The Contractor shall incorporate recordkeeping controls into electronic information system or export the records into the current ERMS. The Contractor shall design and implement migration strategies to counteract hardware and software dependencies of electronic records whenever the records must be maintained and used beyond the life of the information system in which the records are originally created and captured.	Electronic records are stored in accordance with 36 CFR 1236.	95% compliance or two valid customer complaints.	Periodic and Random Inspections, Customer Feedback	5% of applicable CLIN	Monthly
C.3.6.4.2	The Contractor shall prepare, revise, submit for DOE approval, and execute an approved File Plan.	The File Plan is developed in accordance with 36 CFR Chapter XII Subchapter B and DOE O 243.1 *Records Management Program.*	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of the deliverable (annual)
C.3.6.5.1	The Contractor shall ensure records identified as Quality Assurance records under ANSI/American Society of Mechanical Engineers National Quality Assurance (NQA)-1 are categorized (lifetime/non-permanent); managed in accordance with NQA-1 and 36 CFR Chapter XII, Subchapter B; and are maintained for traceability to the applicable item, activity or facility.	Records identified as quality assurance are managed in accordance with NQA-1 and 36 CFR Chapter XII, Subchapter B; and are maintained for traceability to the applicable item, activity or facility.	95% compliance or two valid customer complaints.	Periodic and Random Inspection, Observation, Customer Feedback	5% of applicable CLIN	Quarterly
C.3.6.5.2	Records that contain personal information retrieved by name, or another personal identifier are maintained in Privacy Act Systems of Records.	The Contractor shall ensure records that are maintained in Privacy Act Systems of Records are managed and maintained in accordance with FAR 52.224-2, *Privacy Act* and DOE O 206.1, *DOE Privacy Progra*m, staff are properly trained, and records are properly identified.	100%, compliance no more than zero observed defects (breaches).	Periodic and Random Inspections, Customer Feedback	5% of applicable CLIN	Monthly
C.3.6.5.3	The Contractor shall protect and handle classified information and critical information in accordance with applicable laws, regulations, policies, and directives.	Classified records are handled in accordance with Section C.3.3, Safeguards and Security.	100%, zero observed defects (incidents).	Periodic and Random Inspection, Observation, Customer Feedback	5% of applicable CLIN	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.5.4	The Contractor shall respond to records management data calls by NARA and DOE as requested and process record requests for the FOIA, Privacy Act, Energy Employees Occupational Illness Compensation Program Act, the former worker medical screening program, the Chronic Beryllium Disease Prevention Program, congressional inquiries, legal discoveries and other record requests.	Response to record request are completed as follows: • FOIA <=10 business days • Privacy Act <=10 business days • Litigation Requests <= 5 business days • DOE Requests <= 2 business days	Less than 1% backlog and one observed defect or valid customer complaint.	Inspection, Observation, Customer Feedback	10% of applicable CLIN	Monthly
C. 3.6.5.5	The Contractor shall maintain the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Administrative Record and Information Repository files.	The CERCLA Administrative Record files are maintained in accordance with applicable laws, regulations, policies and directives.	98% and no more than one observed defect or valid customer complaint.	Periodic and Random Inspections, Customer Feedback	$500.00 for each deficiency	Monthly
C.3.6.5.7	The Contractor shall ensure historical records, regardless of media, are stored appropriately in accordance with federal laws and DOE regulations for proper preservation and efficient retrieval.	Required volumes of historical paper records are organized, scheduled, indexed, boxed and dispositioned in paper format or current format.	No more than one observed deficiency or valid customer complaint.	Periodic and Random Inspections, Customer Feedback	10% of applicable CLIN	Monthly
C.3.6.6	Ensure proper DOE Records Disposition Schedule assigned, box, index, complete transfer paperwork, and obtain DOE RMFO approval prior to sending transfer paperwork and/or shipping inactive temporary records to a FRC and/or permanent records to the NARA.	The contractor shall ensure records are dispostioned per the assigned DOE schedule; including transfer of temporary records to the FRC, permanent records to NARA and destruction of those eligible for destruction.	98% of records are transferred to FRC/NARA within one year of cutoff; destruction eligible are destroyed within one year of approval date.	Period and Random Inspections, Customer Feedback	5% of applicable CLIN	Monthly
C.3.6.6	For DOE approval, the Contractor shall develop and implement a Records Disposition Plan.	The Records Disposition Plan shall be developed in accordance with applicable DOE guidance.	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of the deliverable
C.3.6.6	Provide software/ hardware maintenance for the Website server, Website application, database, and system backups for the system as currently configured.	Website access and full functionality will be available 100% of the business days and hours identified in the contract. Availability outside those hours will be 95% of the time.	No more than two valid customer complaints per month, nor more than one lapse in availability/functionality	Customer feedback, Remote use, Periodic Inspectn	$500 for each additional deficiency above the AQL	Monthly, or as need is determined

15. Mail Services (C.3.7)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Mail Services**.

Table 15: Mail Services Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.7.2	Operate the site central mailroom.	Mailroom is operated on normal business days.	No more than two observed defects or valid customer complaints.	Inspection, Observation, Customer Feedback	$500.00 for each deficiency above the AQL.	Quarterly
C.3.7.2	Collect from a local United States Postal Service Post Office Box and process classified mail for all site contractors and DOE.	Mail is collected from the United States Postal Service Post Office Box and classified mail is correctly processed.	No more than two observed defects or valid customer complaints.	Inspection, Observation, Customer Feedback	$500.00 for each deficiency above the AQL.	Quarterly
C.3.7.2	Collect and deliver inter-organizational and outgoing U.S. mail twice daily to C-103, DOE Site Office, Monday through Friday. Frank and post all outgoing U.S. mail for DOE by means of the Government postage meter.	Mail is collected and delivered twice daily on normal business days.	No more than two observed defects or valid customer complaints.	Inspection, Observation, Customer Feedback	$500.00 for each deficiency above the AQL.	Quarterly

16. EIC Operations (C.3.8)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Mail Services**.

Table 16: Mail Services Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.8	Provide Internet access and equipment for public use in searching and printing records stored in the EIC. Maintain a visitor log that includes the visitor name, affiliation, and address, as well as a rating from the visitor on the services provided and search capability at the EIC. The visitor also will be asked to provide comments on the EIC search capabilities	Based on the visitor rating range of: Excellent, Good, Fair, or Poor. Acceptable performance is an average rating of Good or above.	No more than two ratings below good, or more than one valid customer complaint per month	Customer feedback, Periodic Inspection	$500 for each deficiency above the AQL	Quarterly, or as needed

17. Training Services (C.3.9)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Training Services**.

Table 15: Training Services Performance Standards, AQLs, and Surveillance:

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.9.2	The Contractor shall provide the delivery of the training courses listed in Attachment J-8.C.3.9.1, and provide site access training qualification records and cards.	Training qualification records and site access cards are provided within 5 business days or less.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	$500.00 for each additional deficiency above the AQL.	Quarterly
C.3.9.3	The Contractor shall provide the training courses to ensure compliance with applicable environmental health and safety laws and regulations.	Training courses ensure compliance with environmental health and safety laws and regulation.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	$500.00 for each additional deficiency above the AQL.	Quarterly
C.3.9.3	Training classes will be coordinated with other site contractors and tailored to the PGDP site activities.	Training courses are coordinated with other site contractors.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	$500.00 for each additional deficiency above the AQL.	Semiannually
C.3.9.4	The Contractor shall develop a training schedule for site specific courses listed in Section C.3.9.2, Requirement.	Schedule includes all training courses listed in Section C.3.9.2.	Deliverable provided per schedule and is technically accurate and complete.	100% Inspection	$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.9.4	Personnel are notified of pending training needs prior to expiration of requisite training certifications.	Personnel are notified a minimum of 30 calendar days prior to expiration of training.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	$500.00 for each additional deficiency above the AQL.	Quarterly
C.3.9.4	Prime Contractor Points of Contact are notified their employee has not completed the requisite training and is to be placed on restrictions from general site access.	Prime Contractor Points of Contact are notified within 1 business day of a training non- compliance upon individual not completing the requisite training by the required completion date.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	$500.00 for each additional deficiency above the AQL.	Quarterly

18. Radiological Site Services for Others (C.3.11)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Radiological Site Services for Others**.

Table 18: Radiological Site Services Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.10.2	The Contractor completes calibration, maintenance, and repairs of personnel and environmental radiological monitoring and surveying equipment assigned to other site contractors.	The radiological instrumentation inventory provided in the applicable Section J, Attachment is calibrated in accordance with of 10 *CFR* § 835 and DOE O 458.1.	95% of instrumentation properly maintained and no more than two valid customer complaints concerning equipment maintenance.	Periodic and Random Inspection, Customer Feedback	5% of applicable CLIN	Monthly
C.3.10.2	Computerized Maintenance Management System (CMMS) or other approved system utilized to schedule and document calibration, maintenance, and repairs of radiological equipment.	An approved electronic system is used to schedule and document completion of all maintenance and calibration activities.	95% of instrumentation maintenance records are maintained in CMMS.	Periodic and Random Inspection	$500.00 for each deficiency above the AQL.	Quarerly
C.3.10.3	The Contractor shall develop, maintain, and execute an internal and external bioassay program. The Contractor shall provide bioassays and baseline bioassays as needed by DOE, its contractors, and subcontractors.	The bioassay program meets the requirements of Department of Energy Laboratory Accreditation Program (DOELAP) and be compliant with 10 *CFR* § 835 Subpart E.	No more than two deficiencies identified on a DOELAP assessment and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	10% of applicable CLIN	Quarerly

19. Cyber, Computing, and IT (C.3.12)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Cyber, Computing, and IT**.

Table 19: Cyber, Computing, and IT Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.12.1.2	The Contractor shall comply with the cyber security requirements specified in DOE O 205.1 Department of Energy Cyber Security Program and applicable Cyber Security Program Plans (CSPP). In fulfilling requirements, the most current, approved versions of NIST Special Publications (SP), Federal Information Processing Standards (FIPS) Publications, and other applicable requirements documents shall be used.	Cyber security-related risks and corrective active plan information are submitted to the PPPO Risk Tracking System.	Submittal contains 100% of requested information	Periodic Inspection	$1,000.00 for each deficiency.	Quarterly
C.3.12.1.2	The Contractor shall comply with the cyber security requirements specified in DOE O 205.1 Department of Energy Cyber Security Program and applicable Cyber Security Program Plans (CSPP). In fulfilling requirements, the most current, approved versions of NIST Special Publications (SP), Federal Information Processing Standards (FIPS) Publications, and other applicable requirements documents shall be used.	System Security Plans for all information systems are consistent with the requirements identified in DOE O 205.1C and submitted to the Authorizing Official Designated Representative for signature on an as-needed basis.	Submittal aligns with current requirements and contains 100% of requested information	Periodic Inspection	$1,000.00 for each deficiency.	Quarterly
C.3.12.1.2	The Contractor shall complete a self-assessment on an annual basis against the current, approved System Security Plan for each information system under its control and submit formally to DOE	The contractor shall complete a cyber security self-assessment with a comprehensive depth and breadth, aligning with the current version of the Cyber Security Framework for all information systems.	Assessment covers 100% of applicable system controls.	Periodic Inspection	$2,500.00 for each deficiency.	Annual
C.2.1	The Contractor shall identify specific positions requiring requisite security clearances. The scope of this contract requires some personnel to have Q or L security clearances. Positions should be evaluated and clearances should only be requested for those that have specific duties that require clearances. For example, Cyber security personnel may be required to obtain a DOE Q access authorization under this Contract. All information technology and cyber security personnel (e.g., some System Administrators, Network Administrators, Information System Security Officers, Forensic Analysts, Contingency Plan Coordinator) who have incident response and contingency planning responsibilities shall obtain and maintain a DOE Q clearance.	All required personnel possess a DOE Q clearance.	100% of required personnel have DOE Q clearance.	Periodic Inspection	$1,000.00 for each deficiency.	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.12.1.2	The contractor shall obtain, prior to becoming operational (for a new information system) and maintain (if an existing information system), a Continuous Authority to Operate (CATO) for each information system under its governance.	The contractor obtains and maintains an active Continuous Authority to Operate for all information systems for which it has responsibility.	100% of information systems have an active CATO	Periodic Inspection	$2,500.00 for each deficiency.	Monthly
C.3.12.1.2	The Contractor shall comply with the cyber security requirements specified in DOE O 205.1 Department of Energy Cyber Security Program and applicable Cyber Security Program Plans (CSPP). In fulfilling requirements, the most current, approved versions of NIST Special Publications (SP), Federal Information Processing Standards (FIPS) Publications, and other applicable requirements documents shall be used. In close coordination with federal and contractor staff, The Contractor shall develop and implement a CSPP that is aligned with DOE mission objectives, serving as the framework for how the cyber security program manages risk incurred by DOE from the operation of the site's information systems.	The contractor shall develop and maintain a diagram of cyber security infrastructure. The diagram shall include, for example, identifying the placement of security capabilities (e.g., firewalls, intrusion prevention/detection systems, network taps, web and email filtering appliances), detailing network segmentation, and identifying information system interconnections and remote access methods.	Diagram is 100% consistent with current cyber security infrastructure	100% inspection of deliverable	$1,000.00 for each deficiency.	Quarterly

20. Contract Closeout (C.3.12)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Contract Closeout**.

Table 20: Contract Closeout Performance Standards, AQLs, and Surveillance

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.12	The Contractor shall provide all necessary support for a smooth Contract transition at the end of the Contract period.	The Contractor provides support for and effective and efficient closeout of the Contract.	100%	Customer Feedback, Observation, Inspection.	Associated values for contract remedies	At contract closeout
C.3.12	Six (6) months prior to the expiration of the Contract period (upon CO direction), the Contractor shall submit a Contract Close-out Plan to DOE for review and approval.	The Contract Close-out Plan includes all remaining administrative matters necessary to effectively and efficiently closeout the Contract.	Deliverable contains 100% of requested information.	100% Inspection	Associated values for contract remedies	At contract closeout
C.3.12	All procurements closed and records must be processed within 1 year of the performance end date.	Records management requirements in C.3.6	100%	100% Inspection	$10,000 for each month this is late	At contract closeout

APPENDIX B: CONTRACTOR EVALUATION REPORT

CONTRACTOR EVALUATION REPORT			1. EVALUATION REPORT NUMBER
2. TO: (*Contractor and Manager Name*)		**3. FROM:** (*Name of COR*)	
DATES			
PREPARED	**ORAL NOTIFICATION**	**RETURNED BY CONTRACTOR**	**ACTION COMPLETE**
4. EVALUATION DISCREPANCY OR PROBLEM (*Describe in Detail. Include PWS references. Attach Continuation Sheet if Necessary.*)			
5. SIGNATURE OF COR OR ACOR			
6. TO: (*Name of COR*)		**7. FROM:** (*Contractor)*	
8. CONTRACTOR RESPONSE AS TO CAUSE, EFFECT, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. (*Attach Continuation Sheet if necessary. Cite applicable Contractor QC program procedures or new QC procedures.*)			
9. SIGNATURE OF CONTRACTOR REPRESENTIVE		**10. DATE**	
11. GOVERNMENT EVALUATION (*Acceptance, partial acceptance, or rejection. Attach Coordination Sheet if necessary.*)			
12. GOVERNMENT ACTIONS (*Reduced payment, cure notice, show cause, other.*)			

CLOSE OUT				
	NAME AND TITLE	**SIGNATURE**	**METHOD OF ACKNOWLEDGEMENT (Email, Letter)**	**DATE**
CONTRACTOR NOTIFIED				
COR/ACOR				

APPENDIX C:
SAMPLING GUIDE/INSPECTION CHECKLIST

SERVICE FUNCTION: _____

PWS SECTION: _____

NOTE: **S** = Satisfactory Performance **M** = Marginal Performance **U** = Unsatisfactory Performance I = Indeterminate
N/A = Not Applicable

1	**Method of Surveillance:**			
2	**Lot Size:**			
3	**Sample Size:**			
4	**Performance Requirement:** Performance is satisfactory (S) when_____or fewer defects are discovered per month. Performance is marginal (M) when_____or fewer defects are discovered per month. Performance is unsatisfactory (U) when_____or more defects are discovered per month. Performance is Indeterminate (I) when DOE places a hold on the evaluation outcome.			
5	**Sampling Procedure:** Instructions on how to select the sample must be clear and complete			
6	**Inspection Procedure:** The procedure must be detailed enough to allow a yes/no objective decision as to the acceptability of performance by anyone making the inspection. Explain when evaluation is to occur and what is acceptable/unacceptable			
		Performance: Satisfactory (S), Marginal (M), Unsatisfactory (U), Indeterminate (I)		
	PRS Requirements	**Timeliness**	**Quality of Work**	**Notes**
	Overall Rating Of Inspection **(S, M, U, I)**			

Inspector Comments: _____

_____

Evaluator Signature:_____Date: _____